



U.S. DEPARTMENT OF HOMELAND SECURITY

FISCAL YEAR 2011

**HOMELAND SECURITY PREPAREDNESS TECHNICAL
ASSISTANCE PROGRAM**

NATIONAL GOVERNORS ASSOCIATION

GUIDANCE AND APPLICATION KIT

SEPTEMBER 2011



U.S. DEPARTMENT OF HOMELAND SECURITY

Title of Opportunity: Homeland Security Preparedness Technical Assistance Program, National Governors Association

CFDA: 97.007

Funding Opportunity Number: DHS-11-NPD-007-000-02

Federal Agency Name: U.S. Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA)

Announcement Type: Initial

Dates: Completed applications must be submitted **no later than 11:59 PM Eastern, September 27, 2011**

Additional overview information: N/A

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PART I.

FUNDING OPPORTUNITY DESCRIPTION

The Homeland Security Preparedness Technical Assistance Program (HSPTAP) is a capabilities-based program that is structured to build and sustain State and local capacity in preparedness activities. Under this vision, HSPTAP supports the efforts of State and local homeland security personnel to address the full spectrum of mission areas, national priorities, and target capabilities outlined in the National Preparedness Guidelines. As capability gaps are identified, the HSPTAP addresses those needs and builds priority capabilities in the most critical areas. The HSPTAP is designed to be an agile program that addresses present day areas of greatest State and local need; is committed to transferring and institutionalizing knowledge at the State and local level; provides a dynamic program that is responsive to national priorities; is performance based; and that effectively leverages limited resources. HSPTAP provides direct assistance to State, regional, local, and Tribal jurisdictions, as well as other homeland security organizations, to improve their ability to prevent, protect against, respond to, and recover from major events, including threats or acts of terrorism. HSPTAP is driven by several core tenets:

- Grantee assistance must support the National Preparedness Guidelines, National Priorities, and national strategies and doctrine related to homeland security;
- Grantee assistance must be flexible and adaptable to fully address current national trends or risks and the present day needs of homeland security personnel;
- Grantee must provide for or incorporate involvement of States, regions, Urban Areas, local and Tribal jurisdictions, as well as private interests with a role in homeland security.

The National Governors Association Center for Best Practices (NGA Center) has been providing research and technical assistance to governors, their homeland security advisors and staff, and to state homeland security agencies since 2002 as part of the homeland security preparedness technical assistance program (HSPTAP). In 2006, the NGA Center, in consultation with the governors and the Department of Homeland Security, formally organized the Governors Homeland Security Advisors Council (the Council or GHSAC). Comprised of the homeland security advisors from each state and territory, as designated by each governor, the Council provides a forum through which the advisors can analyze and discuss federal policies, share best practices, and provide

expert advice and counsel to the nation's governors and the NGA Center on the impact of federal policy on the states.

The NGA Center's Homeland Security and Public Safety Division supports the activities of the Council and, during the past several years, has conducted research, published issue briefs, governors guides, fact sheets, and other documents on a number of salient homeland security issues, including: intelligence sharing; state homeland security organization, structures and governance; communications interoperability; critical infrastructure protection; and core capabilities. The NGA Center also provides direct technical assistance to individual governor's offices on a variety of homeland security policy areas and provides association representation to a number of national policy committees and advisory boards.

The NGA Center shall continue its support of the Governors Homeland Security Advisors Council by conducting a number of activities under the HSPTAP to support the priorities of the governors and their homeland security advisors; as set forth in the application and budget narrative. Prior to the drawdown of any grant funds, the NGA shall submit an annual plan with a schedule of activities and proposed outcomes to be supported with this award to FEMA for consideration and comment. FEMA will collaborate on final selection of activities and proposed outcomes. FEMA will also indicate which activities and outcomes would benefit from FEMA's substantial involvement while also best serving the purposes of the award. This information will be recorded in the official FEMA grant award file for future reference by NGA and FEMA. The period of performance for this award is 12 months. The proposed activities fall into seven general categories:

1. Manage and facilitate the operations of the Governors Homeland Security Advisors Council;
2. Conduct two meetings of the Council, one in Washington, D.C. and one host state to be determined;
3. Schedule, host, and staff monthly conference calls for the Council and its Executive Committee;
4. Serve as a liaison among the Council, DHS, and the NGA Special Committee on Homeland Security and Public Safety;
5. Conduct an annual survey of the governors' homeland security advisors and publish the results of that survey in a widely disseminated issue brief;
6. Develop and publish an issue brief on a topic to be determined that reflects the priorities of governors; and

7. Provide support to the seven GHSAC committees.

Activities envisioned under the HSPTAP cooperative agreement will be managed by the NGA Center's Homeland Security and Public Safety. A senior policy analyst will serve as the lead point of contact for all tasks and responsibilities related to this project. Individual project tasks will be assigned to additional policy analysts, with oversight provided by the division's program manager. The NGA Center has an in-house conference support staff which will provide logistics and planning services for all meetings held under this agreement. Administrative and clerical work will be provided by the division's program assistant. The project also will rely on the NGA Center's Office of Communications for publications and communications support.

TASK 1: Manage and facilitate the operations of the Governors Homeland Security Advisors Council

In June 2006, the National Governors Association formed the Governors Homeland Security Advisors Council as a forum through which state homeland security directors can discuss common issues, set priorities, communicate with the Department of Homeland Security, and advise the nation's governors on the impact of federal homeland security policies. The Council's membership comprises the 56 homeland security advisors from every state and territory and the District of Columbia. The Council is staffed by the NGA Center's Homeland Security and Public Safety Division and operates through seven committees established in accordance with the advisors' collective priorities:

NGA Center staff will support the Council by:

- Hosting monthly conference calls of the Executive Committee;
- Hosting monthly conference calls of the full Council;
- Maintaining an online portal for homeland security advisors using the Homeland Security Information Network (HSIN);
- Participating in technical assistance requests as requested by states; and
- Disseminating information to the Council and the broader policy community through a variety of newsletters, listservs, Web sites, and other media.

In 2011, the NGA Center will also continue identifying the priorities of newly appointed homeland security advisors and ensuring their participation in GHSAC meetings and conferences. Additionally, the NGA Center will work with experienced HSAs to pair up mentorships with newly appointed HSAs in states with similarly organized homeland security governance. The NGA Center will also continue to monitor each state for changes in governance, organization, or leadership.

FEMA will maintain substantial involvement in this activity. FEMA's involvement in this activity will be to manage and facilitate the operations of the Governors Homeland Security Advisors Council. Additionally, the GHSAC will submit a budget, as well as the development of goals and objectives, and track necessary milestones during the performance period for FEMA's review and approval.

Approximate financial contribution: \$40,000

TASK 2: Conduct two meetings of the Governors Homeland Security Advisors Council

NGA Center staff will work with the Council to schedule and host two national meetings so that state homeland security officials can discuss common issues, priorities, and challenges. One meeting will be held during the late spring in the Washington, DC metro area. The other meeting will be held during the fall at a location to be determined.

The spring 2011 in-person meeting in Washington, DC will be coordinated with the DHS Office of Intergovernmental Affairs to invite senior officials from the department for briefings and to engage in policy discussions. NGA Center staff will secure meeting and hotel space, develop meeting agendas in cooperation with the Council, identify and secure speakers, coordinate federal agency participation, staff the meetings, prepare meeting summaries and conduct follow-up activities as necessary and as requested by the Council.

The fall 2011 in-person meeting will be held at a location outside the DC metro area and will be an opportunity for state-centric policy discussions. This meeting will focus on state priorities, issues and challenges. NGA Center staff will secure meeting and hotel space, develop meeting agendas in cooperation with the Council, identify and secure speakers, coordinate federal agency participation, staff the meetings, prepare meeting summaries and conduct follow-up activities as necessary and as requested by the Council.

Since 2006, meetings between the Council and senior Department of Homeland Security (DHS) officials have been well-attended and productive. Participants for the 2010 plenary meeting in Washington, DC, included DHS Secretary Janet Napolitano,

Deputy Secretary of Homeland Security, Jane Lute, Administrator of the Federal Emergency Management Agency (FEMA) Craig Fugate, Congressional staff, and dozens of other DHS and Department of Defense officials. Likewise, the monthly plenary and the bi-monthly Executive Committee teleconferences have been useful and regularly enjoy over 75 percent attendance. DHS and FEMA officials frequently request to provide briefings and other announcements during these teleconferences.

FEMA will actively participate in this activity. FEMA's involvement will be to assist in the coordination of two meetings of the Council, one in Washington, D.C. and one in a host state to be determined. FEMA will provide the necessary speakers, technical experts and training for NGA/GHSAC and the Homeland Security Advisors (HSAs) during this period of performance.

Approximate financial contribution: \$40,000

TASK 3: Schedule, host, and staff monthly conference calls for the Council and its Executive Committee

NGA Center staff will host conference calls, provide staff support and conduct research as requested for the Council and its Executive Committee. It will provide research support and other direct technical assistance to homeland security advisors, governors and their staff, and related state agencies, as requested and as resources allow, on a range of homeland security-related issues. NGA Center staff will draft agendas, circulating relevant materials, identify and schedule guest briefers, and carry out follow-up activities after each conference call. NGA Center staff will coordinate the schedules of all HSAs and their staff.

Monthly conference calls in 2010 regularly contained briefings from officials at DHS including FEMA and the Office of Intergovernmental Affairs. NGA Center staff will continue to include these briefings for 2011.

FEMA will have significant involvement in this activity. This activity will be to schedule, host, and staff monthly conference calls for the Council and its Executive Committee; FEMA will provide topical areas for discussion on the monthly GHSAC conference calls.

Approximate financial contribution: \$40,000

TASK 4: Serve as a liaison among the Council, DHS, and the NGA Special Committee on Homeland Security and Public Safety

NGA Center staff will conduct research and draft articles for the weekly Front & Center and Homeland Security newsletters, posting material to the NGA web site, and conduct

webinars and other virtual meetings. Staff will establish and maintain relationships with federal partners at the U.S. Department of Homeland Security and other federal counterparts. NGA Center staff will work with these federal representatives to ensure homeland security advisors are informed of new and/or changing initiatives.

The NGA Center will host telephone calls and additional outreach efforts to ensure that homeland security advisors are aware of the actions of the NGA Special Committee on Homeland Security and Public Safety.

FEMA's will be substantially involved in this activity as a technical expert and liaison with and among the Council, DHS, and the NGA Special Committee on Homeland Security and Public Safety. FEMA will also provide subject matter experts to help the GHSAC further its mission.

Approximate financial contribution: \$40,000

TASK 5: Survey State Homeland Security Advisors and publish issue brief

NGA Center staff will work to conduct the annual survey of the governors' homeland security advisors and publish the results in a publicly accessible issue brief. The survey provides insight into state homeland security priorities and solicits the views of states regarding various national programs and initiatives.

The survey conducted during the project period will be the seventh annual survey of the nation's homeland security advisors. The previous surveys were well-received and enjoyed response rates in excess of 75 percent. The surveys serve as a means for state officials to assess whether their priorities and views align with those of other states and offer a method by which federal officials can "check the pulse" of state governments on priority programs and initiatives. NGA Center staff will work closely with the FEMA Program Manager to establish survey requirements and to ensure timely completion and reporting.

The outcome of this activity will be an NGA Center issue brief detailing and analyzing the survey results to identify trends, emerging priorities and existing challenges. The report will be disseminated to state homeland security advisors, appropriate federal officials, and the broader policy community. Activities proposed under this task in 2011-2012 include:

- Design and develop questions for an on-line survey of state homeland security advisors, using SurveyMonkey or a similar on-line survey tool;
- Compile, aggregate and analyze the results of the survey; and

- Publish the survey results in a useful format in the form of an NGA Center Issue Brief.

FEMA's involvement in this activity will be to conduct an annual survey of the governors' homeland security advisors and publish the results of that survey in a widely disseminated issue brief. FEMA will provide the GHSAC with general topics for the survey conducted of the Homeland Security Advisors (HSAs).

Approximate financial contribution: \$40,000

TASK 6: Develop and publish an issue brief on a topic to be determined by priorities of governors

NGA Center staff will develop and publish a second issue brief on a timely topic related to homeland security or homeland defense. The issue brief will be distributed to governors' offices, homeland security advisors, homeland security media resources, and others. The topic will be determined by NGA Center staff upon evaluation of homeland security priorities for governors and their staff.

FEMA's will develop and publish an issue brief on a topic to be determined that reflects the priorities of the governors in collaboration with FEMA. Based on policies and initiatives set forth by FEMA, NGA will work with FEMA to publish the brief and disseminate to the HSAs and governors to keep them abreast on FEMA priorities.

Approximate financial contribution: \$40,000

TASK 7: Provide support to the seven GHSAC committees

In order to help support and enhance the work of the committees of the GHSAC, the NGA Center has developed prospectuses that identify the missions of each committee along with a set of related objectives and activities. Committees include:

- Border Security, Immigration and Personal Identification
- Catastrophic Planning
- Grants & Funding
- Information Sharing and Analysis
- Information Technology, Cyber Security and Secure Communications
- Infrastructure Protection
- Interoperable Communications

This approach will help solidify the work of the committees and raise the influence of the Council. Also, it will help more clearly demonstrate to the homeland security advisors

the worth of participating on a committee. The development of the prospectuses relied on input and feedback from the last three Council meetings, executive and plenary GHSAC calls, and discussions with advisors and representatives from DHS.

The committee prospectuses are living documents that will need to be refined and updated annually to reflect changes the national and federal context, emerging threats, and changes in committee leadership and participation. Annual updates will be required when committee leadership changes. These prospectuses will provide a benchmark for demonstrating progress to the Council toward particular goals. The NGA Center will host report outs at the various GHSAC meetings highlighting areas where committees were successful in effectuating certain outcomes.

FEMA's involvement in this activity will be to provide ongoing technical assistance and support to the seven GHSAC committees. FEMA will assist GHSAC members to focus on key areas of homeland security such as infrastructure protection, catastrophic planning, and grant guidance.

Approximate financial contribution: \$35,000

In furthering its mission to enhance public safety by improving the nation's ability to prepare for, respond to, and recover from all emergencies, disasters, and threats to our nation's security, the NGA Center provides professional development for the Nation's emergency managers through a series of policy and leadership forums, conferences and other training.

PART II.

AWARD INFORMATION

Type of Award

FEMA anticipates awarding 1 Cooperative Agreement to the National Governors Association.

Authorizing Statutes

The Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10); and the *Homeland Security Act of 2002* (Public Law 107-296)

Period of Performance

The period of performance of this grant is 12months. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications as to why an extension is required.

Available Funding

In FY 2011, the total amount of funds distributed under this grant will be \$275,000. FY 2011 funds will be allocated based on this Cooperative Agreement for a period not to exceed twelve months. Future years funding is not guaranteed and is based upon appropriations and DHS and FEMA requirements.

PART III.

ELIGIBILITY INFORMATION

A. Eligible Applicants

The National Governors Association (NGA) is the only eligible applicant. The NGA Center for Homeland Security & Public Safety (NGA Center) is the *only* non-profit membership organization comprised of the Homeland Security Advisors from each State and territory, as designated by each governor, that can bring this experience and breadth of knowledge to collectively to one forum. The NGA Center provides a forum through which the HSA's can analyze and discuss Federal policies, share best practices, and provide expert advice and counsel to the Nation's governors and the NGA Center on the impact of Federal policy on the states.

Between professional staff and its members, The NGA Center brings together policy experts, the educational community, and practitioners of emergency management, to enhance the profession of emergency management and improve the overall safety of this Nation. The NGA center also provides direct technical assistance to individual governors' offices on a variety of homeland security policy areas and provides association representation to a number of national policy committees and advisory boards.

B. Cost Sharing

There is no cost sharing requirement for this cooperative agreement.

C. Restrictions

This funding opportunity is restricted to the National Governors Association. Refer to section IV.E and other applicable sections of this document for all restrictions on usage and compliance requirements.

D. Other

National Incident Management System Implementation Compliance

In accordance with Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*, the adoption of the National Incident Management System (NIMS) is a requirement to receive Federal assistance, through grants, contracts, and other activities. The NIMS provides a consistent nationwide template to enable all levels of government, tribal nations, nongovernmental organizations, and private sector partners

to work together to prevent, protect against, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity.

Federal FY 2011 NIMS implementation must be considered prior to allocation of any Federal awards in FY 2011. The primary grantee/administrator of FY 2011 Homeland Security Preparedness Technical Assistance Program, National Governors Association award funds is responsible for determining if sub-awardees have demonstrated sufficient progress in NIMS implementation to disburse awards.

PART IV. APPLICATION AND SUBMISSION INFORMATION

A. Address to Request Application Package

FEMA makes all funding opportunities available through the common electronic “storefront” [grants.gov](http://www.grants.gov), accessible on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions please call the [grants.gov](http://www.grants.gov) customer support hotline at (800) 518-4726.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on page 2 of this announcement. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.”

B. Content and Form of Application

1. **Application via www.grants.gov.** All applicants must file their applications using the Administration’s common electronic “storefront” - www.grants.gov. Eligible grantees must apply for funding through this portal, accessible on the Internet at www.grants.gov.

The application must be started and submitted using www.grants.gov after Central Contractor Registration (CCR) is confirmed. The on-line application includes the following required forms and submissions:

- Standard Form 424, Application for Federal Assistance

The application must be completed and submitted through the ND Grants system located at <https://portal.fema.gov>. If you need assistance registering for the ND Grants system, please contact FEMA’s Enterprise Service Desk at 1-888-457-3362. The ND Grants system includes the following required forms and submissions:

- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)

- Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying
- Attachments: Budget and Budget Narrative

The program title listed in the CFDA is The Homeland Security Preparedness Technical Assistance Program CFDA. The CFDA number is **97.007**.

- 2. Dun and Bradstreet Data Universal Numbering System (DUNS) number.** The applicant must provide a DUNS number with their application. This number is a required field within www.grants.gov and for CCR. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at (866) 705-5711.
- 3. Central Contractor Registration (CCR).** The application process also involves an updated and current CCR by the applicant, which must be confirmed at <http://www.ccr.gov>.

Application submissions must be received no later than **11:59 PM Eastern, September 27, 2011**. Only applications made through www.grants.gov will be accepted.

C. Intergovernmental Review

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. Executive Order 12372 can be referenced at <http://www.archives.gov/federal-register/codification/executive-order/12372.html>. The names and addresses of the SPOCs are listed on OMB's home page available at: <http://www.whitehouse.gov/omb/grants/spoc.html>.

D. Funding Restrictions

DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement.

To ensure the responsible application of program dollars and public investments the Grants Program Directorate recommends an indirect cost limitation of 8% be used to support training grant programs and other similar programs

Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award.

PART V.

APPLICATION REVIEW INFORMATION

A. Review Criteria

Applications will be reviewed and recommended for funding by DHS/FEMA based on the program criteria identified in this announcement. FEMA will review and act on application for completeness and soundness of proposed methodologies and pricing.

B. Review and Selection Process

Funds will not be made available for obligation, expenditure, or drawdown until the applicant's budget and budget narrative have been approved by FEMA.

The applicant must provide a detailed budget for the funds requested. The detailed budget must be submitted with the grant application as a file attachment within www.grants.gov. The budget must be complete, reasonable, and cost-effective in relation to the proposed project. The budget should provide the basis of computation of all project-related costs, any appropriate narrative, and a detailed justification of Management and Administrative (M&A) costs.

Sample Budget Detail Worksheet

The Budget Detail Worksheet may be used as a guide to assist applicants in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using the following suggested form, or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

A. Personnel. List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position

Computation

Cost

TOTAL _____

B. Fringe Benefits. Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the

percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation and Unemployment Compensation.

Name/Position	Computation	Cost
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TOTAL _____

Total Personnel & Fringe Benefits _____

C. Travel. Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation Cost
--------------------------	-----------------	-------------	-------------------------

TOTAL _____

D. Equipment. List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than one year. (Note: Organization's own capitalization policy and threshold amount for classification of equipment may be used). Expendable items should be included either in the "Supplies" category or in the "Other" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
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Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

TOTAL _____

E. Supplies. List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. (Note: Organization's own capitalization policy and threshold amount for classification of supplies may be used). Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
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TOTAL _____

F. Consultants/Contracts. Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project.

Name of Consultant	Service Provided	Computation	Cost
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Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

Subtotal _____

Consultant Expenses: List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
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Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

Subtotal _____

Contracts: Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
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Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

Subtotal _____

TOTAL _____

G. Other Costs. List items (e.g., rent, reproduction, telephone, security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
-------------	-------------	------

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

Important Note: If applicable to the project, construction costs should be included in this section of the Budget Detail Worksheet.

TOTAL _____

H. Indirect Costs. Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
TOTAL _____		

Budget Summary - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal funds requested and the amount of non-Federal funds that will support the project.

Budget Category	Federal Amount	Non-Federal Amount
A. Personnel	_____	_____
B. Fringe Benefits	_____	_____
C. Travel	_____	_____
D. Equipment	_____	_____
E. Supplies	_____	_____
F. Consultants/Contracts	_____	_____
G. Other	_____	_____
Total Direct Costs	_____	_____
H. Indirect Costs	_____	_____
* TOTAL PROJECT COSTS	_____	_____
Federal Request	_____	
Non-Federal Amount	_____	

C. Anticipated Announcement and Award Dates

FEMA will evaluate and act on applications within 60 days following the close of the application period. Awards will be made on or before September 30, 2011.

PART VI.

AWARD ADMINISTRATION INFORMATION

A. Notice of Award

Upon approval of an application, the grant will be awarded to the grantee. The date that is done is the “award date.” Notification of award approval is made through the ND Grants system. Once an award has been approved, a notice is sent to the authorized grant official. Follow the directions in the notification to accept your award documents. The authorized grant official should carefully read the award package.

The period of performance is 12 months and begins on the Project Period/Budget Period start date listed in the award package. Any unobligated funds will be de-obligated at the end of the close-out period. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required. All extension requests must be submitted to FEMA at least 60 days prior to the end of the period of performance and must address:

- Reason for delay;
- Current status of the activity/activities;
- Approved period of performance termination date and new project completion date;
- Remaining available funds, both Federal and non-Federal;
- Budget outlining how remaining Federal and non-Federal funds will be expended;
- Plan for completion including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and
- Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work approved by FEMA.

B. Administrative and National Policy Requirements

The recipient and any sub-recipient(s) must, in addition to the assurances made as part of the application, comply and require each of its subcontractors employed in the completion of the project to comply with all applicable statutes, regulations, executive orders, OMB Circulars, terms and conditions of the award, and the approved application.

- 1. Standard Financial Requirements.** The grantee and any subgrantee(s) shall comply with all applicable laws and regulations. A non-exclusive list of regulations commonly applicable to DHS grants are listed below:

1.1 – Administrative Requirements.

- 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*
- 2 CFR Part 215, *Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations* (OMB Circular A-110)

1.2 – Cost Principles.

- 2 CFR Part 225, *Cost Principles for State, Local, and Indian tribal Governments* (OMB Circular A-87)
- 2 CFR Part 220, *Cost Principles for Educational Institutions* (OMB Circular A-21)
- 2 CFR Part 230, *Cost Principles for Non-Profit Organizations* (OMB Circular A-122)
- 48 CFR 31.2, Federal Acquisitions Regulations (FAR), *Contracts with Commercial Organizations*

1.3 – Audit Requirements.

- OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*

1.4 – Duplication of Benefits. There may not be a duplication of any Federal assistance by governmental entities, per 2 CFR Part 225, Basic Guidelines Section C.3 (c), which states: Any cost allocable to a particular Federal award or cost objective under the principles provided for in this Authority may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons. However, this prohibition would not preclude governmental units from shifting costs that are allowable under two or more awards in accordance with existing program agreements. Non-governmental entities are also subject to this prohibition per 2 CFR Parts 220 and 230 and 48 CFR 31.2.

2. Payment. DHS/FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to Recipients. To enroll in the DD/EFT, the Recipient must complete a Standard Form 1199A, Direct Deposit Form, found at <http://www.fms.treas.gov/eft/1199a.pdf>.

1. FEMA utilizes the FEMA Payment and Reporting System (PARS) for payments made under this program.

(<https://isource.fema.gov/sf269/execute/LogIn?sawContentMessage=true>)

2.1 – Advance Payment. In accordance with Treasury regulations at 31 CFR Part 205, the Recipient shall maintain procedures to minimize the time elapsing between the transfer of funds and the disbursement of said funds (See 44 CFR

Part 13.21(i)) regarding payment of interest earned on advances. In order to request an advance, the Recipient must maintain or demonstrate the willingness and ability to maintain procedures to minimize the time elapsing between the transfer of funds from DHS and expenditure and disbursement by the Recipient. When these requirements are not met, the Recipient will be required to be on a reimbursement for costs incurred method.

NOTE: FUNDS WILL NOT BE AUTOMATICALLY TRANSFERRED UPON ISSUANCE OF THE GRANT. GRANTEES MUST SUBMIT A REQUEST FOR ADVANCE/REIMBURSEMENT (SF-270) IN ORDER FOR THE FUNDS TO BE TRANSFERRED TO THE GRANTEE'S ACCOUNT.

- 3. Non-supplanting Requirement.** Grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

4. Administrative Requirements.

4.1 – Freedom of Information Act (FOIA). Information submitted in the course of applying for funding under this program or provided in the course of an entity's grant management activities which is under Federal control is subject to the *Freedom of Information Act* (FOIA), 5 U.S.C. §552. The applicant is also encouraged to consult its own State and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process. Note that some information, though not considered classified, may be protected from release or in how it is released. It is important to understand those laws and regulations that fall into an alternate category of Sensitive But Unclassified (SBU) information.

4.2 – Compliance with Federal civil rights laws and regulations. The grantee is required to comply with Federal civil rights laws and regulations. Specifically, the grantee is required to provide assurances as a condition for receipt of Federal funds that its programs and activities comply with the following:

- ***Civil Rights Act of 1964.*** All recipients of financial assistance will comply with the requirements of Title VI of the *Civil Rights Act of 1964* (42 U.S.C. § 2000d *et seq.*), which provides that no person in the United States will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.
- ***Civil Rights Act of 1968.*** All recipients of financial assistance will comply with Title VIII of the *Civil Rights Act of 1968*, which prohibits recipients

from discriminating in the sale, rental, financing, and advertising of dwellings, or in the provision of services in connection therewith, on the basis of race, color, national origin, religion, disability, familial status, and sex (42 U.S.C. §3601 *et seq.*), as implemented by the Department of Housing and Urban Development at 24 CFR Part §100. The prohibition on disability discrimination includes the requirement that new multifamily housing with four or more dwelling units—*i.e.*, the public and common use areas and individual apartment units (all units in buildings with elevators and ground-floor units in buildings without elevators)—be designed and constructed with certain accessible features (see 24 CFR Part §100.201).

- **Title IX of the *Education Amendments of 1972 (Equal Opportunity in Education Act)*.** All recipients of financial assistance will comply with the requirements of Title IX of the *Education Amendments of 1972* (20 U.S.C. §1681 *et seq.*), which provides that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving Federal financial assistance. These regulations are codified at 44 CFR Part §19.
- ***Age Discrimination Act of 1975.*** All recipients of financial assistance will comply with the requirements of the *Age Discrimination Act of 1975* (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age in any program or activity receiving Federal financial assistance.
- ***Americans with Disabilities Act of 1990.*** All recipients of financial assistance will comply with the requirements of Titles I, II, and III of the *Americans with Disabilities Act*, which prohibits recipients from discriminating on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§12101–12213).

Grantees must comply with all regulations, guidelines, and standards adopted under the above statutes. The grantee is also required to submit information, as required, to the DHS Office for Civil Rights and Civil Liberties concerning its compliance with these laws and their implementing regulations. If you have any additional questions or concerns regarding civil rights compliance, please feel free to contact the Office for Civil Rights and Civil Liberties by telephone at 866-644-8360, 866-644-8361 (TTY), or by email at crcl@dhs.gov.

4.3 – Services to Limited English Proficient (LEP) Persons

- **Limited English Proficiency (*Civil Rights Act of 1964, Title VI*).** All recipients of financial assistance will comply with the requirements of Executive Order 13166, *Improving Access to Services for Persons with Limited English Proficiency*, and resulting agency guidance, national origin

and resulting agency guidance, national origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with Title VI, recipients must take reasonable steps to ensure that LEP persons have meaningful access to your programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. Recipients are encouraged to consider the need for language services for LEP persons served or encountered both in developing budgets and in conducting programs and activities. For assistance and information regarding LEP obligations, go to <http://www.lep.gov>.

4.4 – Certifications and Assurances. Certifications and assurances regarding the following apply:

- **Lobbying Prohibitions.** None of the funds provided under an award may be expended by the recipient to pay any person to influence, or attempt to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with any Federal action concerning the award or renewal of any Federal contract, grant, loan, cooperative agreement. These lobbying prohibitions can be found at 31 U.S.C. §1352.
- **Drug-Free Workplace Regulations.** All recipients of financial assistance will comply with the requirements of the *Drug-Free Workplace Act of 1988* (412 U.S.C. §701 *et seq.*), which requires that all organizations receiving grants from any Federal agency agree to maintain a drug-free workplace. The recipient must notify the awarding office if an employee of the recipient is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for debarment. These regulations are codified at 44 CFR Part §17.
- **Debarment and Suspension.** Executive Orders 12549 and 12689 provide protection from fraud, waste, and abuse by debarring or suspending those persons deemed irresponsible in their dealings with the Federal government. The recipient must certify that they are not debarred or suspended from receiving Federal assistance. For additional information, see 2 CFR Part §3000.
- **Federal Debt Status.** The recipient may not be delinquent in the repayment of any Federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments. (See OMB Circular A-129, also refer to SF-424, item number 17.)
- **Hotel and Motel Fire Safety Act of 1990.** In accordance with section 6 of the *Hotel and Motel Fire Safety Act of 1990*, 15 U.S.C. §2225a, the

recipient agrees to ensure that all conference, meeting, convention, or training space funded in whole or in part with Federal funds, complies with the fire prevention and control guidelines of the *Federal Fire Prevention and Control Act of 1974*, 15 U.S.C. §2225.

Grantees must comply with all regulations, guidelines, and standards adopted under the above statutes.

4.5 – Integrating Individuals with Disabilities into Emergency Planning

- ***Rehabilitation Act of 1973.*** All recipients of financial assistance will comply with the requirements of Section 504 of the *Rehabilitation Act of 1973*, 29 U.S.C. §794, as amended, which provides that no otherwise qualified handicapped individual in the United States will, solely by reason of the handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity
- receiving Federal financial assistance. These requirements pertain to the provision of benefits or services as well as to employment.

For additional detailed information, please refer to the following:

- **FEMA Office of Disability Integration and Coordination.** There are many useful tools available through this office at <http://www.fema.gov/about/odic>.
- **Guidelines for Accommodating Individuals with Disabilities in Disaster.** These Guidelines are available at <http://www.fema.gov/oer/reference/>.
- **Disability and Emergency Preparedness Resource Center.** The “Resource Center” is available at <http://www.disabilitypreparedness.gov>.
- **ADA Best Practices.** The Civil Rights Division within the U.S. Department of Justice provides a resource entitled “the Americans with Disabilities Act (“ADA”) Best Practices Toolkit for State and Local Governments.” The ADA Best Practices Toolkit for State and Local Governments is available at <http://www.ada.gov/pcatoolkit/toolkitmain.htm>.

4.6 – Environmental Planning and Historic Preservation (EHP) Compliance

- ***National Environmental Policy Act (NEPA) of 1969.*** All recipients of financial assistance will comply with the requirements of the *NEPA*, as amended, 42 U.S.C. §4331 *et seq.*, which establishes national policy goals and procedures to protect and enhance the environment, including protection against natural disasters. To comply with NEPA for its grant-supported

activities, DHS requires the environmental aspects of construction grants (and certain non-construction projects as specified by the component and awarding office) to be reviewed and evaluated before final action on the application.

For more information on FEMA's EHP requirements, Applicants should refer to:

- **Information Bulletin 329**, *Environmental Planning and Historic Preservation Requirements for Grants*, available at <http://www.fema.gov/pdf/government/grant/bulletins/info329.pdf>,
- **Information Bulletin 345**, *Programmatic Environmental Assessment*, available at <http://www.fema.gov/pdf/government/grant/bulletins/info345.pdf>,
- **Information Bulletin 356**, *EHP Screening Form*, available at <http://www.fema.gov/pdf/government/grant/bulletins/info356.pdf>.

4.7 – Animal Welfare Act of 1966. All recipients of financial assistance will comply with the requirements of the *Animal Welfare Act*, as amended (7 U.S.C. §2131 *et seq.*), which requires that minimum standards of care and treatment be provided for vertebrate animals bred for commercial sale, used in research, transported commercially, or exhibited to the public. Recipients must establish appropriate policies and procedures for the humane care and use of animals based on the *Guide for the Care and Use of Laboratory Animals* and comply with the *Public Health Service Policy and Government Principles Regarding the Care and Use of Animals*.

4.8 – Clean Air Act of 1970 and Clean Water Act of 1977. All recipients of financial assistance will comply with the requirements of 42 U.S.C. §7401 *et seq.* and Executive Order 11738, which provides for the protection and enhancement of the quality of the Nation's air resources to promote public health and welfare and for restoring and maintaining the chemical, physical, and biological integrity of the nation's waters is considered research for other purposes.

4.9 – Protection of Human Subjects. All recipients of financial assistance will comply with the requirements of the Federal regulations at 45 CFR Part §46, which requires that recipients comply with applicable provisions/law for the protection of human subjects for purposes of research. Recipients must also comply with the requirements in DHS Management Directive 026-04, *Protection of Human Subjects*, prior to implementing any work with human subjects. For purposes of 45 CFR Part §46, research means a systematic investigation, including research, development, testing, and evaluation, designed to develop or contribute to general knowledge. Activities that meet this definition constitute research for purposes of this policy, whether or not they are conducted or

supported under a program that is considered research for other purposes. The regulations specify additional protections for research involving human fetuses, pregnant women, and neonates (Subpart B); prisoners (Subpart C); and children (Subpart D). The use of autopsy materials is governed by applicable State and local law and is not directly regulated by 45 CFR Part §46.

4.10 – National Flood Insurance Act of 1968. All recipients of financial assistance will comply with the requirements of Section 1306(c) of the National Flood Insurance Act, as amended, which provides for benefit payments under the Standard Flood Insurance Policy for demolition or relocation of a structure insured under the Act that is located along the shore of a lake or other body of water and that is certified by an appropriate State or local land use authority to be subject to imminent collapse or subsidence as a result of erosion or undermining caused by waves or currents of water exceeding anticipated cyclical levels. These regulations are codified at 44 CFR Part §63.

4.11 – Flood Disaster Protection Act of 1973. All recipients of financial assistance will comply with the requirements of the *Flood Disaster Protection Act of 1973*, as amended (42 U.S.C. §4001 et seq.), which provides that no Federal financial assistance to acquire, modernize, or construct property may be provided in identified flood-prone communities in the United States, unless the community participates in the National Flood Insurance Program and flood insurance is purchased within one year of the identification. The flood insurance purchase requirement applies to both public and private applicants for DHS support. Lists of flood-prone areas that are eligible for flood insurance are published in the *Federal Register* by FEMA.

4.12 – Coastal Wetlands Planning, Protection, and Restoration Act of 1990. All recipients of financial assistance will comply with the requirements of Executive Order 11990, which provides that federally funded construction and improvements minimize the destruction, loss, or degradation of wetlands. The Executive Order provides that, in furtherance of Section 101(b)(3) of NEPA (42 U.S.C. § 4331(b)(3)), Federal agencies, to the extent permitted by law, must avoid undertaking or assisting with new construction located in wetlands unless the head of the agency finds that there is no practicable alternative to such construction, and that the proposed action includes all practicable measures to minimize harm to wetlands that may result from such use. In making this finding, the head of the agency may take into account economic, environmental, and other pertinent factors. The public disclosure requirement described above also pertains to early public review of any plans or proposals for new construction in wetlands. This is codified at 44 CFR Part §9.

4.13 – USA Patriot Act of 2001. All recipients of financial assistance will comply with the requirements of the *Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act* (USA PATRIOT Act), which amends 18 U.S.C. §§175–175c. Among other things, it

prescribes criminal penalties for possession of any biological agent, toxin, or delivery system of a type or in a quantity that is not reasonably justified by a prophylactic, protective, bona fide research, or other peaceful purpose. The Act also establishes restrictions on access to specified materials. “Restricted persons,” as defined by the Act, may not possess, ship, transport, or receive any biological agent or toxin that is listed as a select agent.

4.14 – Trafficking Victims Protection Act of 2000. All recipients of financial assistance will comply with the requirements of the government-wide award term which implements Section 106(g) of the *Trafficking Victims Protection Act (TVPA) of 2000*, as amended (22 U.S.C. §7104), located at 2 CFR Part §175. This is implemented in accordance with OMB Interim Final Guidance, *Federal Register*, Volume 72, No. 218, November 13, 2007. In accordance with the statutory requirement, in each agency award under which funding is provided to a private entity, Section 106(g) of the TVPA, as amended, requires the agency to include a condition that authorizes the agency to terminate the award, without penalty, if the recipient or a sub-recipient —

- Engages in severe forms of trafficking in persons during the period of time that the award is in effect;
- Procures a commercial sex act during the period of time that the award is in effect; or
- Uses forced labor in the performance of the award or sub-awards under the award. Full text of the award term is provided at 2 CFR §175.15.

4.15 – Fly America Act of 1974. All recipients of financial assistance will comply with the requirements of the Preference for U.S. Flag Air Carriers: Travel supported by U.S. Government funds requirement, which states preference for the use of U.S. flag air carriers (air carriers holding certificates under 49 U.S.C. §41102) for international air transportation of people and property to the extent that such service is available, in accordance with the *International Air Transportation Fair Competitive Practices Act of 1974* (49 U.S.C. §40118) and the interpretative guidelines issued by the Comptroller General of the United States in the March 31, 1981, amendment to Comptroller General Decision B138942.

4.16 – Activities Conducted Abroad. All recipients of financial assistance will comply with the requirements that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained. All recipients of financial assistance will comply with requirements to acknowledge Federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with Federal funds.

4.17 – Copyright. All recipients of financial assistance will comply with requirements that publications or other exercise of copyright for any work first produced under Federal financial assistance awards hereto related unless the work includes any information that is otherwise controlled by the Government (e.g., classified information or other information subject to national security or export control laws or regulations). For any scientific, technical, or other copyright work based on or containing data first produced under this award, including those works published in academic, technical or professional journals, symposia proceedings, or similar works, the recipient grants the government a royalty-free, nonexclusive and irrevocable license to reproduce, display, distribute copies, perform, disseminate, or prepare derivative works, and to authorize others to do so, for government purposes in all such copyrighted works. The recipient shall affix the applicable copyright notices of 17 U.S.C. §401 or 402 and an acknowledgement of government sponsorship (including award number) to any work first produced under an award.

4.18 – Use of DHS Seal, Logo, and Flags. All recipients of financial assistance must obtain DHS' approval prior to using the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or likenesses of Coast Guard officials.

4.19 – DHS Specific Acknowledgements and Assurances. All recipients of financial assistance must acknowledge and agree—and require any sub-recipients, contractors, successors, transferees, and assignees acknowledge and agree—to comply with applicable provisions governing DHS access to records, accounts, documents, information, facilities, and staff.

- Recipients must cooperate with any compliance review or complaint investigation conducted by DHS.
- Recipients must give DHS access to and the right to examine and copy records, accounts, and other documents and sources of information related to the grant and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations *and* other applicable laws or program guidance.
- Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports.
- Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.
- If, during the past three years, the recipient has been accused of discrimination on the grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status, the recipient must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement

agreements to the DHS awarding office and the DHS Office of Civil Rights and Civil Liberties.

- In the event any court or administrative agency makes a finding of discrimination on grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status against the recipient, or the recipient settles a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to the DHS Component and/or awarding office.

C. Reporting Requirements

Reporting requirements must be met throughout the life of the grant (refer to the program guidance and the special conditions found in the award package for a full explanation of these requirements). Any reports or documents prepared as a result of this grant shall be in compliance with Federal “plain English” policies, directives, etc. Please note that PARS contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

- 1. Federal Financial Report (FFR) – required quarterly.** Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425), which replaced the SF-269 and SF-272, which is due within 30 days of the end of each calendar quarter (e.g., for the quarter ending March 31, the FFR is due no later than April 30). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period.

FFRs must be filed according to the process and schedule below:

FFRs must be filed electronically through PARS

Reporting periods and due dates:

- October 1 – December 31; *Due January 30*
- January 1 – March 31; *Due April 30*
- April 1 – June 30; *Due July 30*
- July 1 – September 30; *Due October 30*

2. Progress Reports.

Quarterly Status Reports. The Grantee shall report to FEMA on a quarterly basis all activity and accomplishments completed or started on this agreement. Status reports shall contain programmatic and financial information that will be submitted by the dates prescribed above in part C.1 of this section to the Program Manager. While specific details will be determined as part of the grant agreement, reports will include as a minimum:

- Program status (including hiring of personnel, integration with planning body, etc.);
- Status of planning activities (products, milestones, etc.);
- Linkage with other ongoing efforts (HSGP, RCPGP, etc.); and,
- Status of funding obligation.

- 3. Financial and Compliance Audit Report.** Recipients that expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with GAO's *Government Auditing Standards*, located at <http://www.gao.gov/govaud/ybk01.htm>, and OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*, located at <http://www.whitehouse.gov/omb/circulars>. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of FY 2011 assistance for audit and examination purposes, provided that, in the opinion of the Secretary or the Comptroller, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller, through any authorized representative, access to, and the right to examine all records, books, papers or documents related to the grant.

The State shall require that sub-grantees comply with the audit requirements set forth in OMB Circular A-133. Recipients are responsible for ensuring that sub-recipient audit reports are received and for resolving any audit findings.

- 4. Monitoring.** Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.

Monitoring will be accomplished through a combination of desk-based reviews and on-site monitoring visits. Monitoring will involve the review and analysis of the financial, programmatic, performance and administrative issues relative to each program and will identify areas where technical assistance and other support may be needed.

The recipient is responsible for monitoring award activities, to include sub-awards, to provide reasonable assurance that the Federal award is administered in compliance with requirements. Responsibilities include the accounting of receipts and expenditures, cash management, maintaining of adequate financial records, and refunding expenditures disallowed by audits.

- 5. Grant Close-Out Process.** Within 90 days after the end of the period of performance, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawdown but remain as unliquidated on grantee financial records.

Required submissions: (1) final SF-425, due 90 days from end of grant period; and (2) final progress report, due 90 days from the end of the grant period.

PART VII.

FEMA CONTACTS

1. **Grant Programs Directorate (GPD).** FEMA GPD's Grants Administration and Assistance Division will provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to ASK-GMD@dhs.gov.
2. **Program Office Contact.**

John M. Allen
Office of Preparedness Integration
Protection and National Preparedness
Federal Emergency Management Agency
US Department of Homeland Security
John.M.Allen@dhs.gov
202-212-7472

PART VIII.

OTHER INFORMATION

Resources:

1. **GSA's State and Local Purchasing Programs.** The U.S. General Services Administration (GSA) offers two efficient and effective procurement programs for State and local governments to purchase products and services to fulfill homeland security and other technology needs. The GSA Schedules (also referred to as the Multiple Award Schedules and the Federal Supply Schedules) are long-term, indefinite delivery, indefinite quantity, government-wide contracts with commercial firms of all sizes.

- Cooperative Purchasing Program
Cooperative Purchasing, authorized by statute, allows State and local governments to purchase a variety of supplies (products) and services under specific GSA Schedule contracts to save time, money, and meet their everyday needs and missions.

The Cooperative Purchasing program allows State and local governments to purchase alarm and signal systems, facility management systems, firefighting and rescue equipment, law enforcement and security equipment, marine craft and related equipment, special purpose clothing, and related services off of Schedule 84 and Information Technology products and professional services off of Schedule 70 and the Consolidated Schedule (containing IT Special Item Numbers) **only**. Cooperative Purchasing for these categories is authorized under Federal law by the *Local Preparedness Acquisition Act* (Public Law 110-248) and Section 211 of the *E-Government Act of 2002* (Public Law 107-347).


Under this program, State and local governments have access to GSA Schedule contractors who have voluntarily modified their contracts to participate in the Cooperative Purchasing program. The U.S. General Services Administration provides a definition of State and local governments as well as other vital information under the frequently asked questions section on its website at <http://www.gsa.gov/cooperativepurchasing>.

- Disaster Recovery Purchasing Program
GSA plays a critical role in providing disaster recovery products and services to Federal agencies. Now State and Local Governments can also benefit from the speed and savings of the GSA Federal Supply Schedules. Section 833 of the *John Warner National Defense Authorization Act for Fiscal Year 2007* (Public Law 109-364) amends 40 U.S.C. §502 to authorize GSA to

provide State and Local governments the use of ALL GSA Federal Supply Schedules for purchase of products and services to be used to *facilitate recovery from a major disaster declared by the President under the Robert T. Stafford Disaster Relief and Emergency Assistance Act* or to *facilitate recovery from terrorism or nuclear, biological, chemical, or radiological attack*.

Products and services being purchased to facilitate recovery from one of the above listed events, may be purchased both in advance of and in the aftermath of a major disaster, as long as the products and services being purchased, will be used to facilitate recovery.

GSA provides additional information on the Disaster Recovery Purchasing Program website at <http://www.gsa.gov/disasterrecovery>.

State and local governments can find a list of contractors on GSA's website, <http://www.gsa.elibrary.gsa.gov>, denoted with a  or symbol.

Assistance is available from GSA on the Cooperative Purchasing and Disaster Purchasing Program at the local and national levels. For assistance at the local level, visit <http://www.gsa.gov/csd> to find a local customer service director in your area. For assistance at the national level, contact Tricia Reed at tricia.reed@gsa.gov or (571) 259-9921. More information is available on all GSA State and local programs at: www.gsa.gov/stateandlocal.

- 2. Homeland Security Preparedness Technical Assistance Program and Planning Support.** The Homeland Security Preparedness Technical Assistance Program (HSPTAP) provides direct support assistance on a first-come, first-served basis (and subject to the availability of funding) to eligible organizations to enhance their capacity and preparedness to prevent, protect against, respond to, and recover from terrorist and all hazard threats. In addition to the risk assessment assistance already being provided, FEMA also offers a variety of other direct support assistance programs.

The HSPTAP also provides access to planning support. The planning support aids jurisdictions by increasing their understanding of the complex issues faced in planning for various hazards and threats. This support includes leveraging subject-matter experts from around the country as well as enabling knowledge transfer from jurisdiction to jurisdiction.

More information can be found at http://www.fema.gov/about/divisions/pppa_ta.shtm or by e-mailing FEMA-TARequest@fema.gov or NPD-planning@dhs.gov.

- 3. Planning Support.** The HSPTAP also provides access to planning support. The planning support aids jurisdictions by increasing their understanding of the complex issues faced in planning for various hazards and threats. This support includes

leveraging subject-matter experts from around the country as well as enabling knowledge transfer from jurisdiction to jurisdiction.

More information can be found at http://www.fema.gov/about/divisions/pppa_ta.shtm or by e-mailing NPD-planning@dhs.gov.

- 4. Lessons Learned Information Sharing (LLIS) System.** LLIS is a national, online, secure website that houses a collection of peer-validated lessons learned, best practices, AARs from exercises and actual incidents, and other relevant homeland security documents. LLIS facilitates improved preparedness nationwide by providing response professionals with access to a wealth of validated front-line expertise on effective planning, training, equipping, and operational practices for homeland security.

The LLIS website also includes a national directory of homeland security officials, as well as an updated list of homeland security exercises, events, and conferences. Additionally, LLIS includes online collaboration tools, including secure email and message boards, where users can exchange information. LLIS uses strong encryption and active site monitoring to protect all information housed on the system. The LLIS website is <http://www.LLIS.gov>.

- 5. Information Bulletins.** Information Bulletins (IBs) provide important updates, clarifications and policy statements related to FEMA grant programs. Grantees should familiarize themselves with the relevant publications. Information Bulletins can be found at: <http://www.fema.gov/government/grant/bulletins/index.shtm>.
- 6. Information Sharing Systems.** FEMA encourages all State, regional, local, and tribal entities using FY 2010 funding in support of information sharing and intelligence fusion and analysis centers to leverage available Federal information sharing systems, including Law Enforcement Online (LEO) and the Homeland Security Information Network (HSIN). For additional information on LEO, contact the LEO Program Office at leoprogramoffice@leo.gov or (202) 324-8833. For additional information on HSIN and available technical assistance, contact the HSIN Help Desk at (703) 674-3003.